Delegated Classification Authority

Participant's Manual





Delegation of Classification Authority-Training Team Members

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Team Building Exercise: Creating Goals

Objective:

- 1. Create a Group Name
- 2. Brainstorm Group Expectations
- 3. List Prior Knowledge

Process:

Write the name of your Group/Table. Discuss and record your group's top three expectations for the day. Calculate and record the years of HR experience present at your table. Jot down any knowledge members of your group have about classification.

Time Limit: 10 minutes

Classification from A-Z

A	_	M
B	_	N
C	_	О
D	_	P
E	_	R
F	_	S
G	_	T
H	_	U
I	_	V
J	-	W
K	_	X
L	_	Y

M	
N.	
Ο.	
Ρ_	
R.	
S_	
V	
X	

Delegated Classification Policies & Contract

Delegated Classification policies are briefly stated below. For the full text visit, http://www.civilservice.la.gov/JobAids/classificationdelegationprogrampolicies.asp

The mechanism to begin processing allocations using delegated classification authority is a "Delegated Classification Contract" signed by the participating organization and the Department of Civil Service. This contract will only be signed after employee/s of the agency have completed the required training offered by the Compensation Division.

The Delegated Classification Contract should be updated any time there is a change in the parties who have signed the document. A new one is not needed if additional staff are trained in the program and are working under the supervision of one of those parties.

The Director of Civil Service, or his designee, may suspend, revoke, or otherwise limit delegated classification authority for an agency at any time and for whatever reasons he deems appropriate. These reasons may include, but are not necessarily limited to:

- 1. An obvious pattern of misallocations.
- 2. Numerous or serious policy violations.
- 3. Confirmed allegations of fraud.
- 4. Approving actions that circumvent competitive hiring rules.
- 5. Failure to submit position descriptions on a timely basis after allocation decisions are effected.
- 6. Failure to update related positions affected by agency allocation decisions.
- 7. Failure to respond to reasonable requests for information or meetings in a timely manner (particularly requests to resolve questions resulting from the "post audit" of delegated actions).

The Delegated Classification Contract

Below is the full text from the current version (revised 07/21/2006) of the delegated classification contract. A formal copy can be found via:

http://www.civilservice.la.	gov/JobAids/L	Delegatedclassificati	ionContract.htm
Theresponsibility for implement State Department of Civil State	nting classifica Service. Dele itions, and rea xcept those spall lecisions shall	ntion actions as delegated classification allocate or update e pecified in the "Non be made in accordate as delegated and the "Non be made in accordate as delegated as delega	egated by the Louisiana authority includes the xisting positions for all -Delegated Jobs" ance with Civil Service
Civil Service shall: 1. Define the criteria for the crit	standards an chnical assista	nd allocation criteria Ince and advice to a	for all jobs.
The Agency shall: 1. Report all classificat 2. Provide Civil Service 3. Ensure equity in the	e with docume	ents associated with	ı classification decisions.
It is agreed that the Direct to a different job than that authority, and the appoint accordance with the proce Director.	t to which it w ing authority l	vas allocated pursua herein agrees to eff	ant to this delegated ect such change in
Agency Appointing Authority	(print name)		Date
Agency HR Representative	(print name)	(signature)	Date
Chief of Compensation	(print name)	(signature)	Date
Director of Civil Service			Date

(signature)

Group Discussion: The Classification Expert

Discuss and list identifying characteristics of a classification expert.

CHIEF OF COMPENSATION DEPARTMENT OF CIVIL SERVICE P.O. BOX 94111 – CAPITOL STATI BATON ROUGE, LA 70804-9111		POS	ITION [DESCR	PTIO	N		ASSIGNED CONSULTANT/ AGENCY
HUMAN RESOURCES USE ONLY		AFFIRMED JOB CORRECTION NEW POSITION	Up	ALLOCATED Down Late NED W/O ACTIC		MAJOR AGENCY C	ODE	LOG NUMBER - DSCS
OFFICIAL ALLOCATION						OFFICIAL JOB COL	DE	EFFECTIVE DATE
CONSULTANT	SUPE	RVISOR		PROGRESSION YES			TER JOB	DESCRIPTION NO
COMMENTS						☐ INCUMBEN		CATION / DATE:
1 TYPE OF REQUES Check appropriate request b NEW POSITION ESTAB	oxes. I			eet. MASTER		1		
☐ AGENCY APPEAL ☐ EMPLOYEE APPEAL		☐ JOB CORREC		5.3 APPEAL GROUP		EL AREA CODE	POSITION	N NUMBER
CURRENT OFFICIAL JOB TITLE					CURRENT I	PAY LEVEL	CURRENT	FOFFICIAL JOB CODE
REQUESTED OFFICIAL JOB TITLE					REQUESTE	REQUESTED PAY LEVEL REQUESTE		ED OFFICIAL JOB CODE
2 GENERAL INFORM	ΔΤΙΟ	N						
EMPLOYEE'S NAME - LAST, FIRST, MIDDLE					Employee Qualifies For Job AREA CODE - OFF		DE – OFFICE TELEPHONE	
DEPARTMENT - OFFICE - DIVISION / BUILDING - CITY - PARISH HUMAN RESOURCES CONTA			RESOURCES CONTACT					
DIRECT SUPERVISOR'S NAME			OFFICIAL	TITLE OF SUPER\	ISOR		HUMAN R	ESOURCES TELEPHONE
3 COMPARATIVE PO	SITIO BENT N			milar or identical	duties to this	position. OFFICIAL JO	B TITLE / A	GENCY
4 SUPERVISORY ELI	EMEI	NTS		RGANIZATI	ONAL CH	ART MUST BE	ATTAC	CHED.
☐ DETERMINES WORK A	SSIG	NMENTS □ RECO	MMENDS HIR	NG/PROMOTI	ONS □ T	RAINS STAFF		NI IMPED OF
DIRECT								
5 ATTACHMENTS Organizational Ch	art (re	Check to indicate attachr		eview SF-3 instruities (required		·		osition Numbers
6 SIGNATURES								
				DATE		certify that the infor		this document is true and ledge.
EMPLOYEE								he SF-3. I disagree with a ve attached comments.
				DATE			eviewed t	locument. he SF-3. I disagree with a lave attached comments.
DIRECT SUPERVISOR				DATE				and of the state o
ADDOINTING ALITHODITY (In a	aata Ti	da)		DATE			eviewed	document. the SF-3. I disagree with a ave attached comments.

APPOINTING AUTHORITY (Indicate Title)

TYPE OF REQUEST

Match each key word with its correct definition.

KEY WORDS

DEFINITIONS

Position Description	A. A set of duties, which prior to creation of the position may not have formally existed at an agency.
New Position	B. An allocation review when minor changes have been made.
Job Correction	C. An appeal to a classification or allocation decision that is initiated by the agency's Appointing Authority.
Update	D. An appeal to a classification or allocation decision that is initiated by the employee occupying the position.
Agency Appeal	E. An appeal to the Director of Civil Service.
5.3 Appeal	F. A change in the allocation of a position as a result of a job study.
Employee Appeal	G. Also know as an SF-3; describes the job duties of a distinct position.

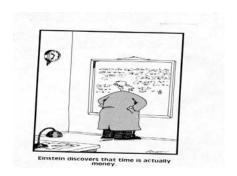
Position Descriptions: At A Glance

Requirements for processing an SF-3:

- Appointing Authority, Supervisor and Employee signatures
- Organizational Chart
 - Job title, Employee name, and Position number
 - o Entire section/unit where position is located
- Attachments
 - Duties and Responsibilities
 - o Master Job Description Position Numbers
 - o Comments

Duties and Responsibilities: Does the SF-3 ...

- Identify the purpose of the position
- Identify the organizational location
- Identify assigned job duties
- Group tasks into logical categories of duties
- List critical tasks first
- Have mixed duties
- Determine % of time or effort



Formulas for Determining % of Time or Effort

- 1. 20% = (1) day per week or $(2 \frac{1}{2})$ months per year.
- 2. 10% = (1/2) day per week or (1) month per year.
- 3. 5% = (2) hours per week or (1) week per year.

Analyzing the SF-3

What do I begin to think about?

- Have there been significant duty changes?
- How do duties assigned to a new position affect other existing positions? Predict effect.
- Are there any conflicts in information reported by management, supervisors, and employees?
- Determine the strength of the position

Making Comparisons

- Identify precedent positions within the agency
- If necessary, cite comparables at other agencies

Additional Information

- When to conduct a desk review?
 - Unclear duties and responsibilities
 - o Unfamiliar with profession/job
 - o Conflicts within the SF-3 (comments, etc.)
 - Anytime more information is needed
- Desk Review formats:
 - o Group or individual
 - o Interview, observation, or tour
- Desk review questions:
 - o Have the employee describe a typical day.
 - o What does the employee do for a living?
 - o What is the purpose of the work unit?
 - o What is his/her most important task?
 - o What is his/her most time consuming and/or complex task?

Allocation Tools

As a Classification Specialist, you are responsible for recommending appropriate allocations of your agency's positions. The following tools should be used to accomplish this task:

are broad descriptions of job duties and	I
responsibilities (Created by Civil Service).	•
are found in the Job Specification and usually describes the major distinctions between job titles.	
are more specific guidelines created by Service to aide in allocating positions.	y Civil
are very detailed agency specific guidelines created by individual agencies to aide in allocating positions.	
can be found in agency or civil service and can serve as a comparison when allocating a position.	e files
WORD BANK	
Agency Allocation Criteria	
Job Specifications	
Civil Service Allocation Memos	
Precedent Positions	
Job Distinctions	

Levels of Work

Levels of work are designated on job specifications to indicate the relativity of jobs in a series. Further, levels of work are used in determining mandatory supervisory training requirements. Listed below are definitions for each level.

ENTRY

The first level of a job series. Includes basic or trainee responsibilities. Usually a limited number of duties are assigned and/or duties are performed under close supervision. Agencies may use this level as the first step in a career progression group or may choose to cap the allocation of positions with very basic duties at this level.

EXPERIENCED

At this level, the full range of duties typically associated with a job is assigned and employees perform under general supervision. Many positions placed in a career progression group are capped at this level. The experienced level includes those levels previously titled "journeyman".

ADVANCED

Advanced tasks and duties are assigned and performed independently with minimum of supervision. Some tasks may not require approval by management staff before decisions are implemented. Some series may have multiple levels reported as advanced.

DUAL CAREER LADDER

This is a non-supervisory level that receives higher pay than traditional non-supervisory jobs. Jobs at this level require the performance of higher level, more complex duties and possession of advanced, specialized skills (see Civil Service Rule 5.9).

PROGRAM MANAGER

Allocations at this level are usually found in a headquarters office and possess the authority to review and approve policies or decisions made by field staff. This level typically does NOT have direct supervisory authority; however, duties include responsibility for planning, implementing, and evaluating program goals and results. Typically includes financial accountability for program budget and expenditures.

SUPERVISOR

Jobs with this level of work MUST directly supervise subordinates and includes several of the more tangible supervisory tasks such as signing and approving leave, signing PPR documents, countersigning or verbally authorizing important decisions of their staff, serving on interview selection panels to fill vacancies, etc. In addition, subordinates should not be claimed by more than one supervisor. Unusual circumstances involving "shared supervision" should be discussed with and approved by the staff of the DSCS Compensation division. Supervisors are primarily responsible for production and quality

control tasks rather than a high percentage of managerial level strategic planning, budget, and policy matters.

MANAGER

Managers "manage" people. Work emphasizes policy development, setting objectives as well as planning, implementing, controlling, and evaluating functions and staff. Managerial levels focus on achieving results through other staff. These positions are typically second line supervisors.

Managers make major recommendations and take actions, which have a direct and substantial affect on the agency and the programs served by:

- determining program goals and shifts in resources and develops implementation plans of such goals.
- accounting to upper management concerning the allocation, efficiency and status of use of resources.
- coordinating program efforts with other internal work units and/or agencies.
 Advising higher-level officials of problems involving their unit's relationship to broader programs.
- delegating authority to subordinate supervisors and holding them accountable for the accomplishment of goals.

The manager level should be used to indicate a span of control, complexity and responsibility greater than the first-line supervisor.

ADMINISTRATOR

Administrators spend a substantial percentage of time spent in long range planning, budgetary matters, responding to legislative inquiries and complaints, human resource issues, etc.

Administrators are among the highest classified levels in an organization. Typically, they report to an unclassified executive, deputy assistant secretary or undersecretary, elected official, or Commission. Often, administrators are directly over multiple sections and/or managers.

EXECUTIVE

Executive level positions are almost exclusively unclassified, appointed or elected. They include department Secretaries, Deputy Secretaries, Under- secretaries, Assistant Secretaries or their equivalents (Vice-Presidents or Directors). Classified executive level jobs include Deputy Assistant Secretaries and Deputy Undersecretaries.

SAMPLE: AGENCY ALLOCATION CRITERIA

State University

MEMORANDUM OF UNDERSTANDING

The purpose of this memorandum is to clarify the management levels of State University and the clerical assistance to be provided based on that level of responsibility. This memo will be effective January 17, 2008

MANAGEMENT LEVEL ADMINISTRATIVE SUPPORT

LEVEL

Executive

Chancellor Administrative Assistant 6
Vice Chancellor Administrative Assistant 5

Upper Level

Academic Deans Administrative Assistant 4

Mid Level Managers

Academic Department Chairmen Administrative Assistant 3
Directors Administrative Assistant 2
Managers Administrative Assistant 2

Lower Level Managers

Coordinators Administrative Assistant 1

The recommended level of clerical support is based on the assumption that the positions are performing duties commensurate with the recommended level. In those instances where the incumbent is not performing duties typically associated with the recommended level of secretary, the allocation will be based on an assessment of duties performed. Please note that all other managerial positions will be considered on a case-by-case basis.

Actions Using Delegated Authority

Unauthorized Jobs:

- Non-Delegated
- Pending Abolishment
- Another Agency
- Atypical

Authorized Actions:

- Affirm:
- New Position:
- Job Correction:
- Reallocation Up:
- Reallocation Down:

New Position vs. Reallocation:

- Non professional to professional job
- Non supervisory to supervisory job
- Movement between pay schedules
- Movement of 3 or more pay grade levels
- Unclassified to classified job
- Drastic changes in duty assignments



New Position vs. **Reallocations** The Battle Continues...



Admin. Assist. 2 (AS-607) to Medical Assistant (MS-506)



Admin. Coord. 1 (AS-605) to Admin. Coord. 2 (AS-607)



Accountant 3 (AS-615) to Accountant Sup 1 (AS-615)



Admin. Coord. 4 (AS-611) to Admin. Prog. Spec. A (AS-613)



Accounting Tech (AS-611) to Accounting Spec (AS-610)

Completing the Process

Allocate Using the top block of the SF-3:

HUMAN RESOURCES USE ONLY	☐ AFFIRMED ☐ JOB CORRECTION ☐ NEW POSITION	REALLOCATED Up Down Lateral RETURNED W/O ACTION	MAJOR AGENCY CODE	LOG NUMBER - DSCS
OFFICIAL ALLOCATION			OFFICIAL JOB CODE	EFFECTIVE DATE
CONSULTANT	SUPERVISOR	CAREER PROGRESSION GROUP YES NO	MASTER JOB ☐ YES	DESCRIPTION NO
COMMENTS			☐ INCUMBENCY ALLOG	CATION V DATE:

Log Number: Do not use; Civil Service Use only

Official Allocation/Job Code:

See http://www.dscs.state.la.us/asp/OneStopJobInfo/OSJobInfoView2.aspx for official job specs)

Major Agency Code:

See http://www.civilservice.la.gov/ClassPay/MajorAgencyCodeQuickRef.htm

Consultant/Supervisor Signatures: 2 sets of signatures are required

Comments: "Delegated Authority" text or stamp goes here

Effective Date:

- Cannot precede the Appointing Authority's signature
- Can be no earlier than 30 days prior to the date stamp receipt of SF-3 in Civil Service

Master Job Description:

- Three or more positions
- Identical duties
- Same supervisor
- List all position numbers included by means of an attachment
- Staff levels

Career Progression Group:

- See http://www.civilservice.la.gov/HRDirectors/Compensation/CareerProgression/MasterList.htm
- Allocate the position to the highest level that the duties support

Incumbency Allocation/Frozen: Civil Service Use Only



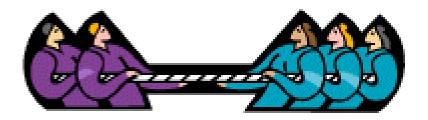
Career Progression Groups

Career Progression Groups (CPGs)

Movement within a CPG should be based on the following four factors:

- 1. Experience:
- 2. Duty Assignments:
- 3. Competencies:
- 4. Performance:

"Who Decides?"



Civil Service or Agency

- 1. Deputy Undersecretary submits a reallocation request for a new position of Executive Management Officer 2 to serve as his assistant in implementing policies and procedures necessary to achieving the goals and mission of the agency.
- 2. An employee disagrees with the allocation decision rendered by her agency's HR staff and re-submits her SF-3 to be reviewed a second time.
- 3. An employee has recently resigned from a Registered Nurse 3 position and the RN Manager submits a request to HR that the position is downwardly reallocated to a Practical Nurse- Licensed 2.
- 4. The Human Resources Administrator's secretary submits her SF-3 (employee appeal) reallocation request for review.

SF-3 Review Exercise

Objective: To identify at least (5)	mistakes on the sample SF-3 (position
description).		

Time Limit: 3 minutes

Process: Each group will receive a sample SF-3. On this sheet, you will list the (5) mistakes you, as a group, have found within the SF-3. After you have listed all five mistakes, as a group, stand up and shout, "Done".

- 1.
- 2.
- 3.
- 4.
- 5.

Process for Analyzing the SF-3

Tip Page:	Position Descriptions & Decision Making
Requirements for SF-3	 Are all signatures on the front page?
Processing	 Is the organizational chart attached?
_	 Are duties & responsibilities in order?
Ensure that the SF-3	Identify the purpose of the position
answers "What does	Identify the organizational location
the employee do and	Identify assigned job duties
why?"	Group tasks into logical categories of duties
	List critical tasks first
Does it	Determine % of time or effort
	 Does the position have mixed duties?
What do I begin to	Have there been significant duty changes?
think about in order to	How do duties assigned to a new position affect other
analyze the	existing positions? Predict effect.
information provided	Are there any conflicts in information reported by
on a position	management, supervisors and employees?
description?	Determine the strength of the position.
Should I compare the	Identify precedent positions within your agency
positions to others in	You may also want to consider positions within other
my agency?	agencies.
	Compare the subject position to your established
	precedents.
If I do not feel like I	On-site desk reviews provide a wealth of information
know enough about	to the Classification Specialist.
the job, what can I do	These can be in the form of a group or individual audit
to gather additional	or tour of a unit or facility
information?	Be prepared and be flexible
What do I ask on an	What does the employee do for a living?
on-site review?	What is the purpose of the work unit?
	Have the employee describe a typical day.
	What is his/her most important task?
	 What is his/her most time consuming task?
	What is his/her most complex task?
	 Does the employee have assigned projects?
Then what?	Review pertinent job specifications
	Review DSCS Allocation Criteria Memos
	Review Agency Allocation Policy
	Compare SF3 to all of the above
What do I do with all	Determine job title options
of this information?	Determine nature of action
How do I begin to	Determine employee qualifications
make a decision?	
I am ready to make	Do duties documented parallel duties performed?
my decision; do I need	Are duties currently part of the job or are they
to consider anything	anticipated?
else?	Are signatures in order?
	Resolve questions or concerns with DSCS.
	Select the best title and allocate.
	Document your decision.

Tip Page:	Final Decision & Completing the Process
What do I mark in those boxes at the top of the positions description for Delegated positions?	 Before allocation and submission to Civil Service: Make sure all agency and position information is completed, including: Personnel Area Code, Request Type, Position Number, Supervisor job title, etc. Allocate the position by completing the top block marked "Human Resources Use Only" by checking the appropriate box. Indicate whether or not the SF-3 is part of a Master job description. Indicate whether or not the position is in a Career Progression Group; if yes; then allocate the SF-3 at the highest level in the group that the duties support. Do not put anything in the Log # block Indicate the official job title, job code, effective date and initials (two sets of initials are required -Consultant & Supervisor). In the comments section, indicate "Delegated Authority". Most agencies use a stamp for this. Indicate your major agency code in the appropriate block
How do I determine the effective date?	 Effective date should not precede the date the Appointing Authority signs the SF-3 Effective date should be no sooner than 30 days prior to the Civil Service receipt date Exceptions may be made with prior written approval.
Do I enter anything into my automated system before sending the SF3 to DSCS?	 Enter information into your automated system. Please note the ISIS HR, Peoplesoft or agency HR system assigned position number on the SF-3 before sending it.
What do I need to send to Civil Service? How do I handle Non- Delegated SF3's?	 Send one copy of the SF-3 to Compensation Be sure to include the organizational chart Complete all portions of the SF-3 except the top block and submit 2 copies to Compensation. Do not make any entries into your HR system. DSCS will allocate & return an approved copy. After SF-3 is returned, enter the position information into your HR system. Non-delegated actions will be approved effective the date of receipt at DSCS
What about a non- delegated new position?	 When the SF3 is returned, you make the entry into your system for your new position number. Be sure to e-mail Toni Lanier of our staff with the new position number at Toni.Lanier@la.gov Please note agency, job title, log number and position number in your e-mail.

SCS Compensation Internet Resources

GENERAL

Chapter 5 of the Civil Service Rules

http://www.civilservice.louisiana.gov/CSRules/Chapter5.aspx

Chapter 5 of the HR Handbook

http://www.civilservice.louisiana.gov/HRInfo/HRHandbook/CSRuleReferences/Chapter5.aspx

Chapter 6 of the Civil Service Rules

http://www.civilservice.louisiana.gov/CSRules/Chapter6.aspx

Chapter 6 of the HR Handbook

http://www.civilservice.louisiana.gov/HRInfo/HRHandbook/CSRuleReferences/Chapter6.aspx

Civil Service General Circulars

http://www.civilservice.louisiana.gov/Publications/GeneralCirculars.aspx

Common Classification Terminology

http://www.civilservice.louisiana.gov/Divisions/Compensation/ClassificationTerms.aspx

Jobs by Career Field

http://www.civilservice.louisiana.gov/Divisions/Compensation/Default.aspx, then click on Pay Plan excel sheet

EEO Job Categories

http://www.civilservice.louisiana.gov/Divisions/Compensation/eeojob.aspx

Levels of Work

http://www.civilservice.louisiana.gov/Divisions/Compensation/PositionDescription.aspx

SF-3 RESOURCES

Downloadable SF-3 Form and Instructions

http://www.civilservice.louisiana.gov/Divisions/Compensation/DocsAndForms.aspx

Guide to Writing Examples of Work

http://www.civilservice.louisiana.gov/Divisions/Compensation/PositionDescription.aspx

Frequently Asked SF-3 Questions

http://www.civilservice.louisiana.gov/Divisions/Compensation/PositionDescription.aspx

CLASSIFICATION TOOLS

Job Specifications

http://www.civilservice.louisiana.gov/asp/OneStopJobInfo/View2Sorting.aspx

Allocation Criteria Memos

http://www.civilservice.louisiana.gov/HRInfo/Divisions/Compensation/Default.aspx

Career Progression Groups

http://www.civilservice.louisiana.gov/files/divisions/compensation/CPG%20list%20upd ated%2011-21-2012.pdf

DELEGATED AGENCY RESOURCES

Delegated Classification Contract

http://www.civilservice.louisiana.gov/files/divisions/compensation/DELEGATED%20CL ASSIFICATION%20CONTRACT.pdf

Job Allocation Analysis Form

http://intranet/Intranet%20Docs/Divisions/Compensation/AllocationDecisionForm05-2012.doc

Non-Delegated Titles

-On the job specifications, next to each job title there will be in black and bold letters the words "Non-Delegated"

JOB STUDY RESOURCES

Job study request form and instructions

http://www.civilservice.louisiana.gov/files/forms/jobstudyrequest.docx

Job Study Process Guidelines

http://www.civilservice.louisiana.gov/files/forms/DOA%20ST%20OFFICE%20of%20PLANNING%20AND%20BUDGET%20FUNDING%20CERTIFICATION%20FORM%20AND%20INSTRUCTIONS%202%2015%2011%20final.docx

DCL RESOURCES

Dual Career Ladder Report Form

http://www.civilservice.louisiana.gov/files/forms/DCL%20Annual%20Report%20Form%2011 -12.docx